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<b>AUTHORITY</b>		<b>DATE</b>
Jeffrey Northey (original signature on file)	IMS Manager	06/11/2013
Richard Grigg (original signature on file)	Process Owner	06/10/2013

<b>REFERENCE DOCUMENTS</b>	
<b>Document</b>	<b>Title</b>
0A-001-M-GSF-1801	System Security Plan for the West Virginia University/Independent Verification & Validation Infrastructure and Tool Architecture
Form 1007	Concurrence Sheet
Form 1009	Waiver Request and Approval
Form 1010	Records Disposition Request
GPR 1440.8	Records Management
IVV QM	NASA IV&V Quality Manual
IVV 17	Internal Quality Audits
NPD 1440.6	NASA Records Management
NPR 1441.1	NASA Records Retention Schedules

If any process in this document conflicts with any document in the NASA Online Directives Information System (NODIS), this document shall be superseded by the NODIS document. Any reference document external to NODIS shall be monitored by the Process Owner for current versioning.

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## 1.0 Purpose

The purpose of this system level procedure (SLP) is to establish and maintain a documented procedure that describes how to identify, store, protect, retrieve, retain, and disposition records for the NASA IV&V Program in accordance with NASA Procedural Requirement (NPR) 1441.1, *NASA Records Retention Schedules*.

## 2.0 Scope

This SLP applies to Records and their subset, Quality Records, used by the NASA IV&V Program.

## 3.0 Definitions and Acronyms

Official NASA IV&V roles and terms are defined in the [Quality Manual](#). Specialized definitions identified in this SLP are defined below.

### 3.1 Electronic Records


Electronic Records are records stored in a format that only a computer can process. Most of these records will be stored with the appropriate file structure on the NASA IV&V Enterprise Content Management (ECM) System as directed by the NASA IV&V Director. Other electronic records may be stored on other servers (e.g., Tools Lab (SWAT), SQL, or web).

### 3.2 Federal Records Center (FRC)

The FRC is a records storage facility operated by the National Archives and Records Administration (NARA) for housing and servicing inactive and semi-active records of the Federal Government.

### 3.3 File Log

The File Log is a listing of physical records maintained by the Records Custodian to help identify, file, store, and retrieve those records. The File Log also lists records (both physical and electronic) that have been dispositioned (deleted, destroyed, copied, or retired).

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### 3.4 File Plan

The File Plan is a listing of record categories, by Agency Filing Scheme (AFS) numbers, with retention periods identified. The File Plan is used by the Records Custodian to support indexing, filing, storing, and retaining records in accordance with NPR 1441.1, *NASA Records Retention Schedules*.

### 3.5 Original Records

Original Records are records created by the NASA IV&V Program.

### 3.6 Physical Records

Physical Records are any records other than Electronic records. Physical records may include, but are not limited to: books, certificates, forms, maps, microfiche, paper records, printed photographs, and many other formats.


### 3.7 Quality Record

A Quality Record is a record specifically required by an IMS document to furnish objective evidence of activity performed or results achieved. Quality Records are documented in Section 6.0, *Records*, of applicable IMS documents, and shall be audited in accordance with IVV 17, *Internal Quality Audits*. Quality records are a subset of Records.

### 3.8 Records

Records include all books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them<sup>1</sup>.

<sup>1</sup> U.S. Code, Title 44, Chapter 33, Section 3301, *Definition of Records*

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### 3.9 Subject Area


A Subject Area is a sub-category of a records category or record series as defined by NPR 1441.1, *NASA Records Retention Schedules*.

### 3.10 Vital Records

Vital Records are records essential for resuming and/or continuing operations during an emergency.

### 3.11 Acronyms

AFS	Agency Filing Scheme
DCC	Document Control Custodian
ECM	Enterprise Content Management
FRC	Federal Records Center
GPR	Goddard Procedural Requirements
IMS	NASA IV&V Management System
IT	Information Technology
NARA	National Archives and Records Administration
NODIS	NASA Online Directives Information System
NPD	NASA Policy Directive
NPR	NASA Procedural Requirements
PO	Process Owner
QM	Quality Manual
SLP	System Level Procedure
WI	Work Instruction

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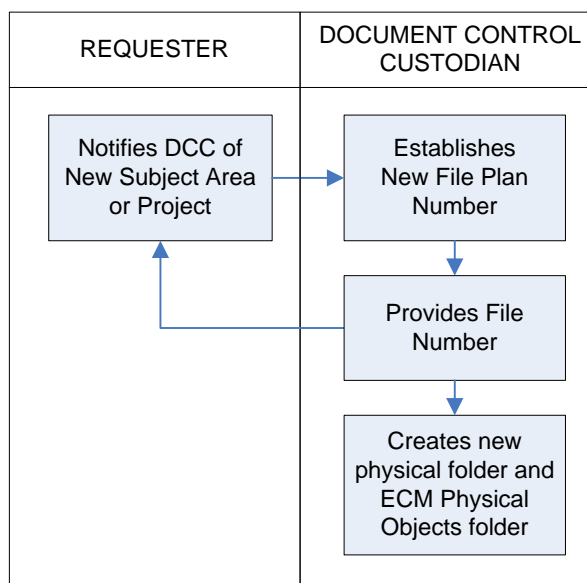
## 4.0 Process Flow Diagrams

The following diagrams depict processes described in this document, and the responsibilities and actions that shall be performed by process participants. Any information supplemental to the depicted processes will appear after the diagram.

### 4.1 Identification Process

DCC collaborates with POs to identify and document quality records in each SLP and WI in Section 6.0, *Records*. Records that are not quality records are documented in the File Plan.

### 4.2 New Subject Area or Project Filing Process



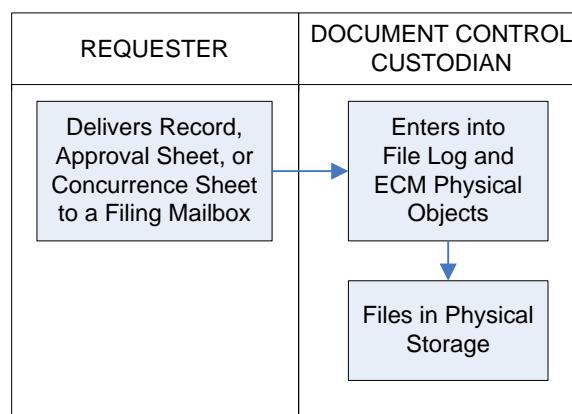
In preparation for storage of records, a requester shall notify the DCC of the new project or subject area. Then the Document Control Custodian (DCC) shall establish a File Number according to the File Plan and NPR 1441.1, *NASA Records Retention Schedules*.

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### 4.3 Record Storing Process

The Responsible Person shall ensure that Quality records are stored in the location stated in Section 6.0, *Records*, of the corresponding SLP/WI. Other records will be stored as noted in the File Plan.

#### 4.3.1 Physical Records




To store physical records the Requester shall place the File Number in the top right corner of a record. In lieu of the actual records some situations may permit Form 1009, *Waiver Request and Approval*, or Form 1007, *Concurrence Sheet*.

One filing mailbox is located in the Building 1 Administrative Office; and one filing mailbox is located in Building 2 (second floor) at the Security Guard station.

Records shall be filed in descending chronological order (newest to oldest), within their respective File Numbers.

For access of stored records:

- Review the File Plan to get file numbers for physical records
- Review the File Log to see individual file names of current physical records
- The File Log also has file names of destroyed physical records along with dates destroyed

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Contact the DCC to access physical records stored in Building 1 file cabinets.

#### 4.3.2 Electronic Records

Electronic Records are stored on the ECM System and/or in various NASA IV&V and NASA-wide systems. For guidance on Functional Office electronic filing structures, refer to [*ECM/Strategic Communications Office/Knowledge Management/Records/FILING/FilePlan.xls*.]

For access of stored records:

- Review the File Plan to get locations of electronic records
- The File Log also has file names of deleted electronic records along with dates deleted

#### 4.4 Protection Process


##### 4.4.1 Physical Records

The DCC shall ensure that physical records in the Building 1 filing system are stored in a temperature- and humidity- controlled environment where they will not be subject to damage or destruction. The Responsible Person as noted in the Section 6 Records Table is responsible for physical records in other locations.

IV&V Project Managers, analysts, and anyone with physical records are encouraged to submit those records to the DCC for safe filing, especially when the project is no longer active. Other situations when records may need to be filed include: employee moving offsite or transitioning to another project.

##### 4.4.2 Electronic Records

The IT Lead shall ensure the confidentiality, availability, and integrity of electronic records for the NASA IV&V Program as described in the certified and accredited 0A-001-M-GSF-1801, *System Security Plan for the West Virginia University/Independent*

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*Verification & Validation Infrastructure and Tool Architecture* (Security Plan Package). This package includes all disaster recovery methodology used by the NASA IV&V Program. Full system backups are performed weekly, and incremental backups are performed nightly. Backups are tested periodically to ensure they are functional and the data integrity is preserved.


#### **4.5 Retrieval Process**

If records have been shipped off-site, retrieval shall be conducted in accordance with NPR 1441.1, *NASA Records Retention Schedules* (Section 1.6, Subsection 5, *Retrieval*). For additional information contact the DCC.

#### **4.6 Retention Process**

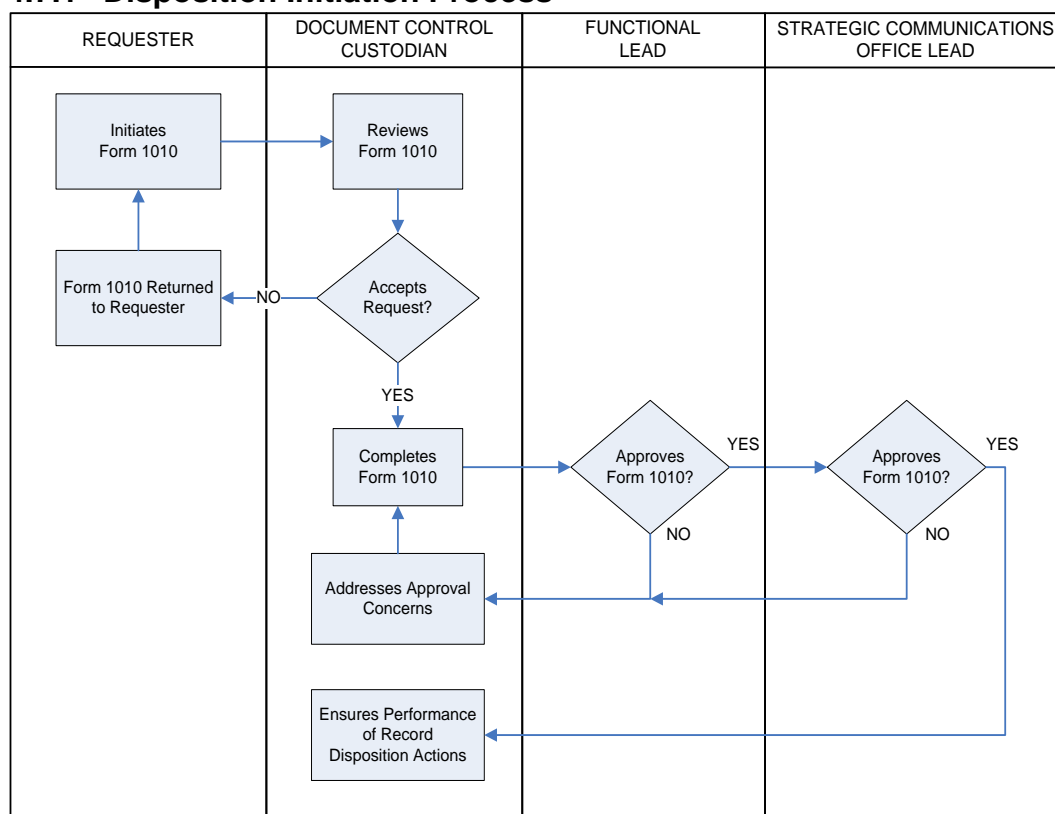
Quality Records shall be retained in accordance with the retention requirement stated in Section 6.0, *Records*, of the corresponding SLP/WI. Retention periods for other records are stated in the File Plan. The Document Control Custodian shall continually ensure that each retention requirement is in accordance with NPR 1441.1, *NASA Records Retention Schedules*.



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## 4.7 Records Disposition Process

### 4.7.1 Disposition Initiation Process

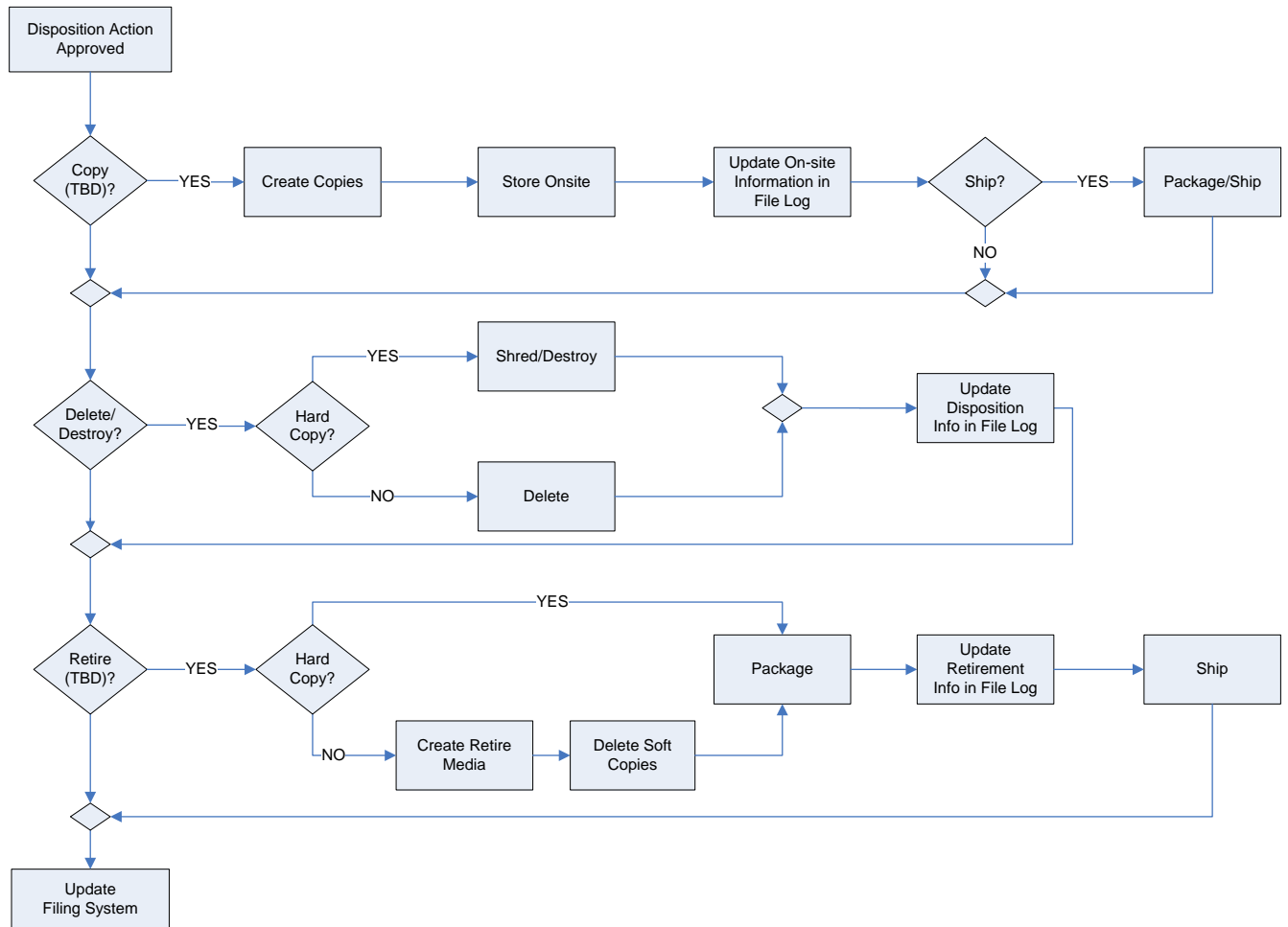


The records disposition process may be initiated under any of the following circumstances:


- A Requester initiates Form 1010, *Records Disposition Request*, and delivers it to one of the filing mailboxes.
- The Document Control Custodian receives an action notification triggered by the ECM records management module.
- The Document Control Custodian identifies a need for the disposition of one or more records.

Therefore, the role of “Requester” may be performed by any party, including, the POs, or the Document Control Custodian.

### 4.7.2 Records Disposition Action Process



The Document Control Custodian shall ensure performance of the actions depicted in the process flow diagram above. The Document Control Custodian shall facilitate shipping arrangements for the off-site retention and disposition of records to any other area (e.g., another NASA Center, an approved FRC, or the National Archives).

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## 5.0 Metrics

Any metrics associated with this SLP are established and tracked within the NASA IV&V Metrics Program.

## 6.0 Records

The following records will be generated or updated and filed in accordance with this SLP and in reference to NPR 1441.1, *NASA Records Retention Schedules*.

Record Name	Original	Vital	Responsible Person	Retention Requirement	Location
Disposition Approval Package	Y	N	Document Control Custodian	Destroy 6 yrs after related records are destroyed or transferred (1/75A1c)	Filing System
File Log	Y	Y	Document Control Custodian	Destroy file plans/indexes when superseded ... or when no longer needed for reference (1/75E)	ECM System
File Plan	Y	Y	Document Control Custodian	Destroy file plans/indexes when superseded ... or when no longer needed for reference (1/75E)	ECM System



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### **VERSION HISTORY**

Version	Description of Change	Rationale for Change	Author	Effective Date
Basic	Initial Release		Siamak Yassini IT/332	07/23/1998
A – J	Revision information older than 7-year retention period relocated to Version History Overflow Document		Various	08/26/1998 – 01/27/2006
K	Include Records Liaison, Records Manager, Institutional Services Lead, and Foundation Lead; add File Plan and File Log to Records.		Richard Grigg	09/10/2007
L	Add process flow diagrams, incorporate two new forms, and add On-Site Log and Retirement Log to Records section.		Richard Grigg	01/25/2008
M	Change Titles of Records Manager to Records Liaison; Records Liaison to Records Custodian. Update sub-process references; Update Scope.		Richard Grigg	05/19/2008
N	Define Original Records, Subject Area and Vital Records. Update Section 4.2, New Subject Area or Project Filing Process. Change Section 4.7, Records Disposition Process.		Richard Grigg	09/11/2008

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**IVV 16  
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### **VERSION HISTORY**

Version	Description of Change	Rationale for Change	Author	Effective Date
O	Update Retention Requirements in Section 6, <i>Records</i> .		Richard Grigg	12/16/2008
P	Modify Visio drawing in section 4.2 to put "Provides File Number" in an action box. Change Institutional Services Lead to Knowledge Management Lead where needed (Visio 4.7.1, and section 4.7.2). Revise flow of Visio 4.7.1. Section 6.0, <i>Records</i> , Responsible Person change.		Richard Grigg	03/17/2010
Q	Added reference document precedence statement		Sara Cain	07/29/2010
R	Added GPR 1440.8 and NPD 1440.6 to Reference Documents table		Richard Grigg	11/02/2010
S	Added verbiage in Section 4.3.1 about new filing mailboxes located in Building 2		Richard Grigg	02/18/2011
T	Added Physical Records definition, replace Records Custodian and Records Liaison with DCC. Sections 4.1, 4.2, 4.3, and 4.5 were updated with enhanced roles/responsibilities and descriptions.	PAR 2011-P-326: Clarify records identification. Clarify and simplify roles/responsibilities.	Richard Grigg	10/25/2011

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### **VERSION HISTORY**

Version	Description of Change	Rationale for Change	Author	Effective Date
U	Added Records definition. Removed Form 1011.	PAR 2012-P-345: Records and Quality Records are different, and there is a lack of clarity. Form 1011 integrated into Form 1010	Richard Grigg	10/12/2012
V	Added encouragement and guidance for records protection in section 4.4.1	PAR 2012-P-387: To prevent project related documents being left in an office when an employee leaves or relocates.	Richard Grigg	06/12/2013

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